

Uniform Application for Investment Adviser Registration

Part II - Page 1

OMB APPROVAL

OMB Number: 3235-0049

Expires: February 28, 2011

Estimated average burden hours per
response . . . 4.07

Name of Investment Adviser:

Cauble & Harre Wealth Management, Inc.

Address: (Number and Street)

(City)

(State)

(Zip Code)

Area Code Telephone Number

12977 North 40 Drive, Suite 213**St. Louis****MO****63141****314 576-1112**

**This part of Form ADV gives information about the investment adviser and its business for the use of clients.
The information has not been approved or verified by any governmental authority.**

Table of Contents

<u>Item Number</u>	<u>Item</u>	<u>Page</u>
1	Advisory Services and Fees	2
2	Types of Clients.	2
3	Types of Investments.	3
4	Methods of Analysis, Sources of Information and Investment Strategies.	3
5	Education and Business Standards.	4
6	Education and Business Background.	4
7	Other Business Activities.	4
8	Other Financial Industry Activities or Affiliations.	4
9	Participation or Interest in Client Transactions.	5
10	Conditions for Managing Accounts.	5
11	Review of Accounts.	5
12	Investment or Brokerage Discretion.	6
13	Additional Compensation.	6
14	Balance Sheet.	6
	Continuation Sheet.	Schedule F
	Balance Sheet, if required.	Schedule G

(Schedules A, B, C, D, and E are included with Part I of this Form, for the use of regulatory bodies, and are not distributed to clients.)

Potential Persons who are not to respond to the collection of information contained in this form are not
required to respond unless the form displays a currently valid OMB control number.

1. A. Advisory Services and Fees. (check the applicable boxes)

For each type of service provided, state the approximate % of total advisory billings from that service. (See instruction below.)

Applicant:

- | | |
|---|-------------|
| <input checked="" type="checkbox"/> (1) Provides investment supervisory services | 50 % |
| <input checked="" type="checkbox"/> (2) Manages investment advisory accounts not involving investment supervisory services | 10 % |
| <input checked="" type="checkbox"/> (3) Furnishes investment advice through consultations not included in either service described above | 05 % |
| <input type="checkbox"/> (4) Issues periodicals about securities by subscription | _____ % |
| <input type="checkbox"/> (5) Issues special reports about securities not included in any service described above | _____ % |
| <input type="checkbox"/> (6) Issues, not as part of any service described above, any charts, graphs, formulas, or other devices which client may use to evaluate securities | _____ % |
| <input checked="" type="checkbox"/> (7) On more than an occasional basis, furnishes advice to clients on matters not involving securities | 35 % |
| <input type="checkbox"/> (8) Provides a timing service | _____ % |
| <input type="checkbox"/> (9) Furnishes advice about securities in any manner not described above | _____ % |

(Percentages should be based on applicant's last fiscal year. If applicant has not completed its first fiscal year, provide estimates of advisory billings for that year and state that the percentages are estimates.)

B. Does applicant call any of the services it checked above financial planning or some similar term?

Yes No

☒ ☐

C. Applicant offers investment advisory services for: (check all that apply)

- | | |
|--|--|
| <input checked="" type="checkbox"/> (1) A percentage of assets under management | <input type="checkbox"/> (4) Subscription fees |
| <input checked="" type="checkbox"/> (2) Hourly charges | <input type="checkbox"/> (5) Commissions |
| <input checked="" type="checkbox"/> (3) Fixed fees (not including subscription fees) | <input type="checkbox"/> (6) Other |

D. For each checked box in A above, describe on Schedule F:

- the services provided, including the name of any publication or report issued by the adviser on a subscription basis or for a fee
- applicant's basic fee schedule, how fees are charged and whether its fees are negotiable
- when compensation is payable, and if compensation is payable before service is provided, how a client may get a refund or may terminate an investment advisory contract before its expiration date

2. Types of Clients -- Applicant generally provides investment advice to: (check those that apply)

- | | |
|---|--|
| <input checked="" type="checkbox"/> A. Individuals | <input checked="" type="checkbox"/> E. Trusts, estates, or charitable organizations |
| <input type="checkbox"/> B. Banks or thrift institutions | <input checked="" type="checkbox"/> F. Corporations or business entities other than those listed above |
| <input type="checkbox"/> C. Investment companies | <input type="checkbox"/> G. Other (describe on Schedule F) |
| <input checked="" type="checkbox"/> D. Pension and profit sharing plans | |

3. Types of Investments Applicant offers advice on the following: (check those that apply)

- | | |
|--|---|
| <input type="checkbox"/> A. Equity securities | <input type="checkbox"/> H. United States governmental securities |
| <input type="checkbox"/> (1) exchange-listed securities | |
| <input type="checkbox"/> (2) securities traded over-the-counter | <input type="checkbox"/> I. Options contracts on: |
| <input type="checkbox"/> (3) foreign issuers | <input type="checkbox"/> (1) securities |
| | <input type="checkbox"/> (2) commodities |
| <input type="checkbox"/> B. Warrants | |
| <input type="checkbox"/> C. Corporate debt securities
(other than commercial paper) | <input type="checkbox"/> J. Futures contracts on: |
| <input type="checkbox"/> D. Commercial paper | <input type="checkbox"/> (1) tangibles |
| <input type="checkbox"/> E. Certificates of deposit | <input type="checkbox"/> (2) intangibles |
| <input type="checkbox"/> F. Municipal securities | |
| | <input type="checkbox"/> K. Interests in partnerships investing in: |
| <input type="checkbox"/> G. Investment company securities: | <input type="checkbox"/> (1) real estate |
| <input type="checkbox"/> (1) variable life insurance | <input type="checkbox"/> (2) oil and gas interests |
| <input type="checkbox"/> (2) variable annuities | <input type="checkbox"/> (3) other (explain on Schedule F) |
| <input type="checkbox"/> (3) mutual fund shares | |
| | <input type="checkbox"/> L. Other (explain on Schedule F) |

4. Methods of Analysis, Sources of Information, and Investment Strategies.

A. Applicant's security analysis methods include: (check those that apply)

- | | |
|---|---|
| <input type="checkbox"/> (1) <input type="checkbox"/> Charting | <input type="checkbox"/> (4) <input type="checkbox"/> Cyclical |
| <input type="checkbox"/> (2) <input type="checkbox"/> Fundamental | <input type="checkbox"/> (5) <input type="checkbox"/> Other (explain on Schedule F) |
| <input type="checkbox"/> (3) <input type="checkbox"/> Technical | |

B. The main sources of information applicant uses include: (check those that apply)

- | | |
|---|---|
| <input type="checkbox"/> (1) <input type="checkbox"/> Financial newspapers and magazines | <input type="checkbox"/> (5) <input type="checkbox"/> Timing services |
| <input type="checkbox"/> (2) <input type="checkbox"/> Inspections of corporate activities | <input type="checkbox"/> (6) <input type="checkbox"/> Annual reports, prospectuses, filings with the Securities and Exchange Commission |
| <input type="checkbox"/> (3) <input type="checkbox"/> Research materials prepared by others | <input type="checkbox"/> (7) <input type="checkbox"/> Company press releases |
| <input type="checkbox"/> (4) <input type="checkbox"/> Corporate rating services | <input type="checkbox"/> (8) <input type="checkbox"/> Other (explain on Schedule F) |

C. The investment strategies used to implement any investment advice given to clients include: (check those that apply)

- | | |
|---|---|
| <input type="checkbox"/> (1) <input type="checkbox"/> Long term purchases (securities held at least a year) | <input type="checkbox"/> (5) <input type="checkbox"/> Margin transactions |
| <input type="checkbox"/> (2) <input type="checkbox"/> Short term purchases (securities sold within a year) | <input type="checkbox"/> (6) <input type="checkbox"/> Option writing, including covered options, uncovered options, or spreading strategies |
| <input type="checkbox"/> (3) <input type="checkbox"/> Trading (securities sold within 30 days) | <input type="checkbox"/> (7) <input type="checkbox"/> Other (explain on Schedule F) |
| <input type="checkbox"/> (4) <input type="checkbox"/> Short sales | |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

5. Education and Business Standards.

Yes No

Are there any general standards of education or business experience that applicant requires of those involved in determining or giving investment advice to clients?.....

☒ ☐

(If yes, describe these standards on Schedule F.)

6. Education and Business Background.

For:

- each member of the investment committee or group that determines general investment advice to be given to clients, or
- if the applicant has no investment committee or group, each individual who determines general investment advice given to clients (if more than five, respond only for their supervisors)
- each principal executive officer of applicant or each person with similar status or performing similar functions.

On Schedule F, give the:

- | | |
|-----------------|--|
| • name | • formal education after high school |
| • year of birth | • business background for the preceding five years |

7. Other Business Activities. (check those that apply)

- ☒ A. Applicant is actively engaged in a business other than giving investment advice.
- ☒ B. Applicant sells products or services other than investment advice to clients.
- ☒ C. The principal business of applicant or its principal executive officers involves something other than providing investment advice.

(For each checked box describe the other activities, including the time spent on them, on Schedule F.)

8. Other Financial Industry Activities or Affiliations. (check those that apply)

- ☒ A. Applicant is registered (or has an application pending) as a securities broker-dealer.
- ☒ B. Applicant is registered (or has an application pending) as a futures commission merchant, commodity pool operator or commodity trading adviser.
- C. Applicant has arrangements that are material to its advisory business or its clients with a related person who is a:
- | | |
|--|--|
| <input checked="" type="radio"/> (1) broker-dealer | <input checked="" type="radio"/> (7) accounting firm |
| <input checked="" type="radio"/> (2) investment company | <input checked="" type="radio"/> (8) law firm |
| <input checked="" type="radio"/> (3) other investment adviser | <input checked="" type="radio"/> (9) insurance company or agency |
| <input checked="" type="radio"/> (4) financial planning firm | <input checked="" type="radio"/> (10) pension consultant |
| <input checked="" type="radio"/> (5) commodity pool operator, commodity trading adviser or futures commission merchant | <input checked="" type="radio"/> (11) real estate broker or dealer |
| <input checked="" type="radio"/> (6) banking or thrift institution | <input checked="" type="radio"/> (12) entity that creates or packages limited partnerships |

(For each checked box in C, on Schedule F identify the related person and describe the relationship and the arrangements.)

Yes No

- D. Is applicant or a related person a general partner in any partnership in which clients are solicited to invest?...

☒ ☐

(If yes, describe on Schedule F the partnerships and what they invest in.)

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	--------------------------	---------------------

9. Participation of Interest in Client Transactions.

Applicant or a related person: (check those that apply)

- ☒ A. As principal, buys securities for itself from or sells securities it owns to any client.
- ☒ B. As broker or agent effects securities transactions for compensation for any client.
- ☒ C. As broker or agent for any person other than a client effects transactions in which client securities are sold to or bought from a brokerage customer.
- ☒ D. Recommends to clients that they buy or sell securities or investment products in which the applicant or a related person has some financial interest.
- ☐ E. Buys or sells for itself securities that it also recommends to clients.

(For each box checked, describe on Schedule F when the applicant or a related person engages in these transactions and what restrictions, internal procedures, or disclosures are used for conflicts of interest in those transactions.)

Describe, on Schedule F, your code of ethics, and state that you will provide a copy of your code of ethics to any client or prospective client upon request.

- | | | |
|--|-------------------------------------|--------------------------|
| 10. Conditions for Managing Accounts. Does the applicant provide investment supervisory services, manage investment advisory accounts or hold itself out as providing financial planning or some similarly termed services <i>and</i> impose a minimum dollar value of assets or other conditions for starting or maintaining an account? | Yes | No |
| | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

(If yes, describe on Schedule F.)

11. Review of Accounts. If applicant provides investment supervisory services, manages investment advisory accounts, or holds itself out as providing financial planning or some similarly termed services:

- A. Describe below the reviews and reviewers of the accounts. **For reviews**, include their frequency, different levels, and triggers factors. **For reviewers**, include the number of reviewers, their titles and functions, instructions they receive from applicant on performing reviews, and number of accounts assigned each.

Please refer to Schedule F, Item 11.A

- B. Describe below the nature and frequency of regular reports to clients on their accounts.

Please refer to Schedule F, Item 11.B

12. Investment or Brokerage Discretion.

A. Does applicant or any related person have authority to determine, without obtaining specific client consent, the:

- | | | |
|--|-----------------------|-----------------------|
| (1) securities to be bought or sold? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |
| (2) amount of the securities to be bought or sold? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |
| (3) broker or dealer to be used? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |
| (4) commission rates paid? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |

B. Does applicant or a related person suggest brokers to clients? ☐ Yes ☐ No

For each yes answer to A describe on Schedule F any limitations on the authority. For each yes to A(3), A(4) or B, describe on Schedule F the factors considered in selecting brokers and determining the reasonableness of their commissions. If the value of products, research and services given to the applicant or a related person is a factor, describe:

- the products, research and services
- whether clients may pay commission higher than those obtainable from other brokers in return for those products and services
- whether research is used to service all of applicant's accounts or just those accounts paying for it; and
- any procedures the applicant used during the last fiscal year to direct client transactions to a particular broker in return for products and research services received.

13. Additional Compensation.

Does the applicant or a related person have any arrangements, oral or in writing, where it:

- | | | |
|---|-----------------------|-----------------------|
| A. is paid cash by or receives some economic benefit (including commissions, equipment or non-research services) from a non-client in connection with giving advice to clients? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |
| B. directly or indirectly compensates any person for client referrals? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |

(For each yes, describe the arrangements on Schedule F.)

14. Balance Sheet. Applicant must provide a balance sheet for the most recent fiscal year on Schedule G if applicant:

- has custody of client funds or securities (unless applicant is registered or registering only with the Securities and Exchange Commission); or
 - requires prepayment of more than \$500 in fees per client and 6 or more months in advance
- | | | |
|--|-----------------------|-----------------------|
| Has applicant provided a Schedule G balance sheet? | Yes | No |
| | <input type="radio"/> | <input type="radio"/> |

Answer all items. Complete amended pages in full, circle amended items and file with execution page (page 1).

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	--------------------------	---------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
1.D	<p>This brochure provides information about the qualifications and business practices of Cauble & Harre Wealth Management, Inc. (hereinafter "CHWM"). Please contact Peter Harre if you have any questions about the contents of this brochure. The information in this brochure has not been approved or verified by the U.S. Securities and Exchange Commission or by any State securities authority.</p> <p>Additional information about CHWM is available on the Internet at http://www.adviserinfo.sec.gov. You can search this site by a unique identifying number, known as a CRD number. The CRD number for CHWM is 143812.</p> <p style="text-align: center;"><u>ADVISORY SERVICES</u></p> <p>WEALTH MANAGEMENT SERVICES:</p> <p>CHWM offers Wealth Management services which are intended to be an ongoing and structured process of identifying and managing your resources to allow you to meet your financial objectives. The process begins with a financial plan which may address any or all of the following areas: Asset Protection, Income Protection, Debt Management, Estate Planning, Investment Goal Funding Sufficiency. These services are provided for a fixed fee that is in addition to the Investment Management fee.</p> <p>The Fee for this service is \$1,375 for the 1st quarter and \$375 for subsequent quarters.</p> <p>INVESTMENT MANAGEMENT SERVICES:</p> <p>CHWM provides continuous advice to a client regarding investment of client funds based on the individual needs of the client. Through personal discussions in which goals and objectives based on a client's particular circumstances are established, CHWM develops a client's personal investment policy and creates and manages a portfolio based on that policy. CHWM will manage advisory accounts on a discretionary basis. Account</p>

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	------------------------------	-------------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer										
	<p>supervision is guided by the stated objectives of the client.</p> <p>CHWM will typically create a diversified portfolio consisting of one or all of the following: Exchange traded funds, individual equities, bonds, certificates of deposit, mutual funds, separate account managers and other investment products. CHWM will allocate the clients assets among various investments taking into consideration the particular investment strategy designed for the client. When selecting exchange traded funds, mutual funds or separate account managers, any or all of the following criteria will be used: management fee structure, track record, investment objective, style and philosophy, tax efficiency. Allocation across vehicles and market sectors will be determined by each client's individual needs and circumstances. Clients will have the opportunity to place reasonable restrictions on the types of investments which will be made on the client's behalf. Clients will retain individual ownership of all securities.</p> <p>INVESTMENT MANAGEMENT SERVICES FEES:</p> <p>The annual fee for investment management services will be charged as a percentage of assets under management, according to the schedule below:</p> <table> <tr> <td>Assets under management</td><td>Annual Fee (%)</td></tr> <tr> <td>\$0 to \$500,000</td><td>0.80%</td></tr> <tr> <td>\$500,001 - \$1,000,000</td><td>0.70%</td></tr> <tr> <td>\$1,000,001 - \$2,000,000</td><td>0.60%</td></tr> <tr> <td>\$2,000,001 and above</td><td>0.50%</td></tr> </table> <p>The fees are billed quarterly, in arrears, at the beginning of each calendar quarter based upon the value (market value or fair market value in the absence of market value), of the client's account at the end of the previous quarter.</p>	Assets under management	Annual Fee (%)	\$0 to \$500,000	0.80%	\$500,001 - \$1,000,000	0.70%	\$1,000,001 - \$2,000,000	0.60%	\$2,000,001 and above	0.50%
Assets under management	Annual Fee (%)										
\$0 to \$500,000	0.80%										
\$500,001 - \$1,000,000	0.70%										
\$1,000,001 - \$2,000,000	0.60%										
\$2,000,001 and above	0.50%										

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	--------------------------	---------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
	<p>INVESTMENT OVERSIGHT AND CONSULTING:</p> <p>CHWM will monitor and make recommendations on assets that are held with another provider, such as a 401(k) plan. The purpose of this service is to better integrate these assets into the overall plan, and/or to provide independent oversight.</p> <p>It is acknowledged that the client will have the ultimate control and responsibility to implement changes in these assets held away from CHWM's recommended custodian, currently Fidelity Brokerage Services, LLC.</p> <p>CHWM will be dependent on client for client to furnish account data in a timely fashion to CHWM in order for CHWM to provide services agreed upon. Unless client has terminated the advisory relationship, as described in this document, client will continue to compensate CHWM even if account data is not submitted. In such case, CHWM will make a best effort attempt to provide the services agreed upon with the information it has available.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 3

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	--------------------------	---------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer								
	<p>INVESTMENT OVERSIGHT AND CONSULTING FEES:</p> <p>The annual fee for investment oversight and consulting services will be charged as a percentage of assets under advisement, according to the schedule below:</p> <table> <tr> <td>Assets under advisement</td><td>Annual Fee (%)</td></tr> <tr> <td>\$0 to \$1,000,000</td><td>0.25%</td></tr> <tr> <td>\$1,000,001 - \$2,000,000</td><td>0.20%</td></tr> <tr> <td>\$2,000,001 and above</td><td>0.15%</td></tr> </table> <p>The fees are billed quarterly, in arrears, at the beginning of each calendar quarter based upon the value (market value or fair market value in the absence of market value), of the client's assets under advisement at the end of the previous quarter.</p> <p>FINANCIAL PLANNING SERVICES :</p> <p>CHWM also provides a broad range of financial planning and/or consulting services. The scope and final product of the financial planning engagement will be defined at the inception of the financial planning engagement. In general, the financial planning engagement may address any or all of the following areas:</p> <p>ASSET PROTECTION: Reviewing the need for life, property and/or liability insurance. Reviewing titling of assets.</p> <p>INCOME PROTECTION: Income tax planning, disability protection, analysis of spending/budgeting.</p> <p>DEBT MANAGEMENT: Evaluation of liquidity position. Evaluation of debt vehicles used.</p>	Assets under advisement	Annual Fee (%)	\$0 to \$1,000,000	0.25%	\$1,000,001 - \$2,000,000	0.20%	\$2,000,001 and above	0.15%
Assets under advisement	Annual Fee (%)								
\$0 to \$1,000,000	0.25%								
\$1,000,001 - \$2,000,000	0.20%								
\$2,000,001 and above	0.15%								

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	------------------------------	-------------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
	<p>ESTATE PLANNING: Existence of wills, trusts, powers of attorneys. Gifting wishes, effective beneficiary designations.</p> <p>INVESTMENT GOAL FUNDING SUFFICIENCY: Analysis of current strategies for investment plans to reach financial goals such as retirement, education funding, etc.</p> <p>CHWM gathers required information through in-depth personal interviews and from related documents received from the client. Information gathered includes a client's current financial status, future goals, and attitudes towards risk. Implementation of financial plan recommendations is entirely at the client's discretion.</p> <p>Unless these services are included as part of the Wealth Management Option, CHWM will generally charge an agreed upon fixed fee for these services.</p> <p>CONSULTING SERVICES</p> <p>In limited circumstances CHWM may also provide hourly financial planning and/or consulting services. The hourly charge for these services will range from \$125 - \$250 per hour depending upon the level and scope of the services required and the professional(s) rendering the service.</p> <p>For both financial planning and consulting services fees, A retainer may be requested, however, advance payment will never exceed \$500 for work that will not be completed within six months. The balance will be due upon completion of the plan or consulting service.</p> <p>CHWM's financial planning and/or consulting fee(s) will be determined based on the nature of the services being provided and the complexity of each client's circumstances. All fees are agreed upon prior to entering into a contract with any client.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 5

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
	<p align="center">GENERAL INFORMATION ON FEES AND SERVICES</p> <p>Negotiability of Fees: In certain circumstances, all of CHWM's fees may be negotiable.</p> <p>Fee Calculation: The fee charged is calculated as described above and is not charged on the basis of a share of capital gains upon or capital appreciation of the funds or any portion of the funds of an advisory client (Section 205(a) (1) of the Investment Advisers Act of 1940).</p> <p align="center">MISCELLANEOUS</p> <p>Termination of Advisory Relationship: A client agreement may be canceled at any time, by either party, for any reason upon receipt of 30 day prior written notice. Upon termination of any account, any prepaid, unearned fees will be promptly refunded. The client has the right to terminate an agreement without penalty within five business days after entering into the agreement. In the event of withdrawal of funds or the termination of any account, any fees, commissions or other expenses associated with rebalancing or liquidating the account holdings may be assessed to the client's account.</p> <p>Adviser restricts its compensation solely and exclusively to the professional fees it receives directly from its clients for professional services rendered to its clients. Whenever Adviser recommends that Client own a specific financial product or utilize the services of a specific Custodian, Adviser and its employees will not accept and sales commissions (including 12b-1 fees), prizes, vacation trips, gifts or meals valued in excess of \$250 from those specific financial product vendors or custodians</p> <p>Mutual Fund & ETF Fees: All fees paid to CHWM for investment advisory services are separate and distinct from the fees and expenses charged by</p>

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
	<p>mutual funds and ETFs to their shareholders. These fees and expenses are described in each fund's prospectus. These fees will generally include a management fee, other fund expenses, and a possible distribution fee. A client could invest in mutual funds or ETFs directly, without the services of CHWM. In that case, the client would not receive the services provided by CHWM which are designed, among other things, to assist the client in determining which mutual fund or funds are most appropriate to each client's financial condition and objectives. Accordingly, the client should review both the fees charged by the funds and the fees charged by CHWM to fully understand the total amount of fees to be paid by the client and to thereby evaluate the advisory services being provided.</p> <p>Third Party Investment Manager Expenses: Fees paid to CHWM for investment advisory services are separate and distinct from the fees and expenses charged by the independent investment manager's fee for that entity's advisory/management services.</p> <p>Class Actions, Bankruptcies and Other Legal Proceedings: Clients should note that CHWM will neither advise nor act on behalf of the client in legal proceedings involving companies whose securities are held or previously were held in the client's account(s), including, but not limited to, the filing of Proofs of Claim in class action settlements. If desired, clients may direct CHWM to transmit copies of class action notices to the client or a third party. Upon such direction, CHWM will make commercially reasonable efforts to forward such notices in a timely manner.</p> <p>Proxy Voting: To the extent that Client selects Fidelity as its custodian, Adviser will vote proxies received in connection with securities held in Client's Account. In such case, Adviser will direct Client to instruct Fidelity to accept votes regarding the proxies from Adviser. If the Account is subject to ERISA, under Department of Labor guidelines, and the authority to manage plan assets has been delegated to an investment manager, the manager or other fiduciary designated by the named fiduciary (not Adviser) will retain the authority and responsibility to vote proxies.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 7

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
	<p>Due to administrative and other restraints, including difficulties in obtaining all relevant proxy materials, Adviser will not vote proxies where (i) Fidelity is not Client's custodian, (ii) the related securities have been loaned from the Client's Account, (iii) it deems the costs to the Client and/or the administrative inconvenience of voting the security outweigh the benefit of doing so.</p> <p>In instances where Adviser has undertaken to vote proxies, it will vote all such proxies consistent with the best economic interest of the Client. Adviser will include, among other things, monitor corporate actions, receive and vote proxies, and disclose any potential conflicts of interest. Adviser maintains written policies and procedures as to the handling, research, voting and reporting of proxy voting.</p> <p>CHWM shall not be required to verify any information received from the client or from the client's other professionals, and is expressly authorized to rely thereon. Each client is advised that it remains his responsibility to promptly notify the CHWM when there is any material change in his financial situation or investment objectives.</p> <p>Prior to engaging CHWM to provide investment management services, the client will be required to enter into a formal Investment Advisory Agreement (the Agreement) with CHWM setting forth the terms and conditions under which CHWM shall manage the client's assets, and a separate custodial/clearing agreement with each designated broker-dealer custodian. Neither CHWM nor the client may assign the Agreement without the prior consent of the other party. Transactions that do not result in a change of actual control or management of CHWM shall not be considered an assignment.</p> <p>A copy of CHWM's written disclosure statement as set forth in this Part II of Form ADV shall be provided to each client prior to or contemporaneously with the execution of the Agreement. Any client who has not received a copy of CHWM's written disclosure statement at least 48 hours prior to executing the Agreement shall have 5 business days subsequent to executing the</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 8

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	--------------------------	---------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
3.L	<p>Agreement to terminate CHWM's services without penalty.</p> <p style="text-align: center;"><u>TYPES OF INVESTMENTS</u></p> <p>CHWM may provide additional advice about any type of investment held in a client's portfolio at the beginning of the advisory relationship.</p>
5.	<p style="text-align: center;"><u>EDUCATION AND BUSINESS STANDARDS</u></p> <p>Advisory persons associated with CHWM must possess appropriate business experience and all required licenses.</p>
6.	<p style="text-align: center;"><u>EDUCATION AND BUSINESS BACKGROUND</u></p> <p>ELIZABETH H. CAUBLE, CFP® BORN: 1965</p> <p>Education:</p> <p>B.S., Business Administration, University of Kansas, 1987; M.B.A., Business Administration,</p> <p>Southern Methodist University, 1991.</p> <p>Certificate in Financial Planning with distinction, University of California, Berkeley Extension, 1999.</p> <p>Employment History:</p> <p>Principal & President, Cauble & Harre Wealth Management, Inc. 04/07 to present;</p> <p>Transitioning from San Francisco to St. Louis. Not in work force, 12/05 to 3/07;</p> <p>Vice President/Financial Planner, U.S. Trust Company, 02/01 to 11/05; Consultant, Sole Proprietor, 06/00 to 02/01;</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 9

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
9.E	<p>Associate, The Humpreys Group, 01/97 to 05/00.</p> <p>PETER B. HARRE, CFA BORN: 1966</p> <p>Education:</p> <p>B.S., Business Administration, University of Kansas, 1988;</p> <p>M.B.A., Business Administration, Washington University, St. Louis, 1990.</p> <p>Employment History:</p> <p>Principal, Chief Investment Officer & Chief Compliance Officer, Cauble & Harre Wealth Management, Inc. 04/07 to present;</p> <p>Senior Vice President / Portfolio Manager, Bank of America 05/96 to 03/07.</p> <p><u>PARTICIPATION OR INTEREST IN CLIENT TRANSACTIONS</u></p> <p>CHWM has adopted a Code of Ethics expressing the firm's commitment to ethical conduct. CHWM's Code of Ethics describes the firm's fiduciary duties and responsibilities to clients, and sets forth CHWM's practice of supervising the personal securities transactions of supervised persons with access to client information. Individuals associated with CHWM may buy or sell securities for their personal accounts identical to or different than those recommended to clients. It is the expressed policy of CHWM that no person employed by CHWM shall prefer his or her own interest to that of an advisory client or make personal investment decisions based on the investment decisions of advisory clients.</p> <p>To supervise compliance with its Code of Ethics, CHWM requires that anyone associated with this advisory practice with access to advisory recommendations provide annual securities holdings reports and quarterly transaction reports to the firm's Chief Compliance Officer. CHWM requires such access persons to also receive approval from the Chief Compliance Officer prior to investing in any IPOs or private placements (limited offerings).</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 10

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
11.A & 11.B	<p>CHWM requires that all individuals must act in accordance with all applicable Federal and State regulations governing registered investment advisory practices. CHWM's Code of Ethics further includes the firm's policy prohibiting the use of material non-public information. Any individual not in observance of the above may be subject to disciplinary measures.</p> <p>CHWM will provide a complete copy of its Code of Ethics to any client upon request to the Chief Compliance Officer at CHWMs principal address.</p> <p style="text-align: center;"><u>REVIEW OF ACCOUNTS & REPORTS OF ACCOUNTS</u></p> <p>INVESTMENT MANAGEMENT SERVICES</p> <p>REVIEWS: While the underlying securities within Investment Management Services accounts are continuously monitored, these accounts are reviewed at least quarterly by Peter Harre or Elizabeth Cauble of CHWM. Accounts are reviewed in the context of each client's stated investment objectives and guidelines. More frequent reviews may be triggered by material changes in variables such as the client's individual circumstances, or the market, political or economic environment.</p> <p>REPORTS: In addition to the quarterly statements and confirmations of transactions that Investment Management Services clients receive from their broker dealer, CHWM will provide a quarterly report summarizing account performance, balances and holdings. If contract for by the client, CHWM may provide additional and/or more frequent reports.</p> <p>INVESTMENT MANAGEMENT OVERSIGHT AND CONSULTING</p> <p>REVIEWS: These client accounts will be reviewed as contracted for at the inception of the advisory relationship by Peter Harre or Elizabeth Cauble of CHWM. Accounts are reviewed in the context of each client's stated investment objectives and guidelines. More frequent reviews may be triggered by material changes in variables such as the client's</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 11

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
12.A(1) & 12.A (2)	<p>individual circumstances, or the market, political or economic environment.</p> <p>REPORTS: Clients will receive monthly and/or quarterly statements and confirmations from their respective broker-dealer(s) and/or custodian(s). CHWM will provide reports as contracted for at the inception of the advisory relationship.</p> <p>FINANCIAL PLANNING</p> <p>REVIEWS: These client accounts will be reviewed as contracted for at the inception of the advisory relationship.</p> <p>REPORTS: Financial Planning clients may receive a completed financial plan or a report on a specific financial planning area. Additional reports will not typically be provided unless otherwise contracted for at the inception of the advisory relationship.</p> <p>CONSULTING SERVICES</p> <p>REVIEWS: These client accounts will be reviewed as contracted for at the inception of the advisory relationship.</p> <p>REPORTS: These client accounts will receive reports as contracted for at the inception of the advisory relationship.</p> <p style="text-align: center;"><u>INVESTMENT DISCRETION</u></p> <p>For "discretionary" Investment Management clients, CHWM requests that it be provided with written authority to determine which securities and the amounts of securities that are bought or sold and the authority to determine which money managers to select and the ability to change those investment managers.</p> <p>Any limitations on this discretionary authority shall be included in this written authority statement. Clients may change/amend these limitations as required.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 12

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	------------------------------	-------------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
12.B	<p>Such amendments shall be submitted in writing.</p> <p style="text-align: center;"><u>BROKERAGE RECOMMENDATIONS</u></p> <p>As CHWM does not have the discretionary authority to determine the broker dealer to be used or the commission rates to be paid, clients must direct CHWM as to the broker dealer to be used. In directing the use of a particular broker or dealer, it should be understood that CHWM will not have authority to negotiate commissions among various brokers or obtain volume discounts, and best execution may not be achieved. In addition, a disparity in commission charges may exist between the commissions charged to other clients.</p> <p>CHWM is a client of Fidelity Institutional Wealth Services, part of Fidelity Brokerage Services, LLC ("Fidelity"), and independent broker-dealer and member of the Financial Industry Regulatory Authority, Inc.</p> <p>Clients in need of brokerage and custodial services will have Fidelity Brokerage Services LLC recommended to them. As as client of Fidelity Institutional Wealth Services, CHWM receives benefits that it would not receive if it did not offer investment advice (See the disclosure under Item 13.A. of this Schedule F narrative).</p> <p>Many clients, when undertaking an advisory relationship, already have a pre-established relationship with a broker, and they will instruct CHWM to execute all transactions through that broker. In the event that a client directs CHWM to use a particular broker-dealer, it is understood that under those circumstances CHWM will not have authority to negotiate commissions or to obtain volume discounts, participate in block trades and best execution may not be achieved.</p> <p>In addition, under these circumstances a disparity in commission charges may exist between the commissions charged to other clients.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 13

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant: Cauble & Harre Wealth Management, Inc.	SEC File Number: 801-	Date: 03/26/2009
---	------------------------------	-------------------------

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
13.A	<p>Transactions for each client account may be executed independently. If CHWM decides to purchase or sell the same security for several clients at approximately the same time, it may, but is not obligated to bundle or batch such orders. Doing so would help allocate equitably among CHWM's clients any price differences that might have been obtained if the orders were placed separately.</p> <p>The number of shares to be bought or sold in a particular client's account will be determined prior to a batch trade being submitted for execution. In the event an order is not filled completely, the executed portion will be allocated in an equitable fashion, typically a pro-rata basis. Adjustments to the pro rata allocation may be made to avoid having odd amounts of shares held in any client account, or to avoid deviations from pre-determined minimum/maximum holdings limits (established for any account).</p> <p>Trading costs for each account will continue to be determined based on Fidelity's commission schedule for each individual account.</p> <p>As noted in item 9(E), CHWM may buy or sell for itself securities that it also recommends to clients. As a general rule, when batching orders, accounts of CHWM or its access persons will not be included. If executed the same day, the orders of CHWM or its access persons will be executed after any batch order, and after any additional client orders in that same security executed that same day. Open-ended mutual funds are excluded from this requirement as are U.S. Treasury securities and corporate bonds.</p> <p style="text-align: center;"><u>ADDITIONAL COMPENSATION</u></p> <p>Fidelity Institutional Wealth Services provides CHWM with access to institutional trading and custody services, which are typically not available to retail investors. These services generally are available to independent investment advisors on an unsolicited basis at no charge to them. The services include brokerage, custody, research, and access to mutual funds and other investments that are otherwise generally available only to institutional investors or would require a significantly higher minimum initial investment.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 14

**Schedule F of
Form ADV
Continuation Sheet for Form ADV
Part II**

Applicant:	SEC File Number:	Date:
Cauble & Harre Wealth Management, Inc.	801-	03/26/2009

(Do not use this Schedule as a continuation sheet for Form ADV Part I or any other schedules.)

1. Full name of applicant exactly as stated in Item 1A of Form ADV: Cauble & Harre Wealth Management, Inc.	IRS Empl. Ident. No.: 20-8686246
--	--

Item of Form (identify)	Answer
	<p>Fidelity Institutional Wealth Services also makes available to CHWM other products and services that benefit CHWM but may not benefit its clients accounts. Some of these other products and services assist CHWM in managing and administering clients accounts. These include software and other technology that provide access to client account data (such as trade confirmations and account statements), facilitate trade execution (and allocation of aggregated trade orders for multiple client accounts), provide research, pricing information and other market data, facilitate payment of CHWMs fees from its clients accounts, and assist with back-office functions, recordkeeping and client reporting.</p> <p>Many of these services generally may be used to service all or a substantial number of CHWM's accounts. Recommended brokers also make available to CHWM other services intended to help CHWM manage and further develop its business enterprise. These services may include consulting, publications and conferences on practice management, information technology, business succession, regulatory compliance, and marketing. CHWM does not, however, enter into any commitments with the brokers for transaction levels in exchange for any services or products from brokers. While as a fiduciary, CHWM endeavors to act in its clients best interests, CHWMs recommendation that clients maintain their assets in accounts with Fidelity may be based in part on the benefit to CHWM of the availability of some of the foregoing products and services and not solely on the nature, cost or quality of custody and brokerage services provided by the brokers, which may create a potential conflict of interest.</p>

Complete amended pages in full, circle amended items and file with execution page (page 1). PAGE 15